

**PART B—ISSUE FEE TRANSMITTAL**

Complete and mail this form, together with applicable fees, to: **Box ISSUE FEE**  
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**Washington, D.C. 20231**

**MAILING INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE. Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Issue Fee Receipt, the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)  
**TM02/0312**

JAMES J MURPHY  
5400 RENAISSANCE TOWER  
1201 ELM STREET  
DALLAS TX 75270-2199

Note: The certificate of mailing below can only be used for domestic mailings of the Issue Fee Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing.

**Certificate of Mailing**

I hereby certify that this Issue Fee Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above on the date indicated below.

(Depositor's name)

(Signature)

(Date)

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
09/067,640	04/27/98	047	AKERS, S	04/27/01
First Named Applicant STALLAERT, 05 UGC 154 (b) term ext. = 0 Days.				

**TITLE OF INVENTION AND METHOD THEREFOR** APPARATUS FOR TRADING OF BUNDLED ASSETS INCLUDING BUNDLE SUBSTITUTION

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
2 18608-F001C1	705-037.000	D22	UTILITY	YES	\$120.00	04/27/01

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363). Use of PTO form(s) and Customer Number are recommended, but not required.

Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

"Fee Address" indication (or "Fee Address" Indication form PTO/SB/47) attached.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 \_\_\_\_\_

2 \_\_\_\_\_

3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the PTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY & STATE OR COUNTRY)

Please check the appropriate assignee category indicated below (will not be printed on the patent)

individual  corporation or other private group entity  government

4a. The following fees are enclosed (make check payable to Commissioner of Patents and Trademarks):

Issue Fee  
 Advance Order - # of Copies \_\_\_\_\_

4b. The following fees or deficiency in these fees should be charged to:

DEPOSIT ACCOUNT NUMBER \_\_\_\_\_  
(ENCLOSE AN EXTRA COPY OF THIS FORM)

Issue Fee  
 Advance Order - # of Copies \_\_\_\_\_

The COMMISSIONER OF PATENTS AND TRADEMARKS IS requested to apply the Issue Fee to the application identified above.

(Authorized Signature) (Date)

NOTE: The Issue Fee will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the Patent and Trademark Office.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending on the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND FEES AND THIS FORM TO: Box Issue Fee, Assistant Commissioner for Patents, Washington D.C. 20231

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMIT THIS FORM WITH FEE**



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

NOTICE OF ALLOWANCE AND ISSUE FEE DUE

TM02/0312

JAMES J MURPHY  
5400 RENAISSANCE TOWER  
1201 ELM STREET  
DALLAS TX 75270-2199

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART. UNIT	DATE MAILED
09/057,640	04/27/98	147	BLAKERS, G	2/16/01
First Named Applicant		35 USC 154(b) term ext. = 0 Days.		
TITLE OF INVENTION AND METHOD THEREFOR APPARATUS FOR TRADING OF BUNDLED ASSETS INCLUDING BUNDLE SUBSTITUTION				
ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY FEE DUE DATE DUE
Z 18608-F00101	705-037.000	022	UTILITY	YES \$620.00 04/27/01

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT.  
PROSECUTION ON THE MERITS IS CLOSED.**

**THE ISSUE FEE MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED.**

**HOW TO RESPOND TO THIS NOTICE:**

I. Review the SMALL ENTITY status shown above.  
If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

- A. If the status is changed, pay twice the amount of the FEE DUE shown above and notify the Patent and Trademark Office of the change in status, or
- B. If the status is the same, pay the FEE DUE shown above.

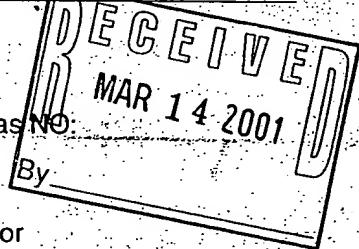
II. Part B-Issue Fee Transmittal should be completed and returned to the Patent and Trademark Office (PTO) with your ISSUE FEE. Even if the ISSUE FEE has already been paid by charge to deposit account, Part B-Issue Fee Transmittal should be completed and returned. If you are charging the ISSUE FEE to your deposit account, section "4b" of Part B-Issue Fee Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give application number and batch number. Please direct all communications prior to issuance to Box ISSUE FEE unless advised to the contrary.

If the SMALL ENTITY is shown as NO:

A. Pay FEE DUE shown above, or

B. File verified statement of Small Entity Status before, or with, payment of 1/2 the FEE DUE shown above.



**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

YOUR COPY

DOCKETED WAS 3/15/01

(A)

## Notice of Allowability

Application No. 09/067,640	Applicant(s) Stallaert et al
Examiner Geoffrey Akers	Group Art Unit 2164

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance and Issue Fee Due or other appropriate communication will be mailed in due course.

This communication is responsive to 4/27/98

The allowed claim(s) is/are 1-47

The drawings filed on \_\_\_\_\_ are acceptable.

Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

All  Some\*  None of the CERTIFIED copies of the priority documents have been

received.

received in Application No. (Series Code/Serial Number) \_\_\_\_\_

received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\*Certified copies not received: \_\_\_\_\_

Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

A SHORTENED STATUTORY PERIOD FOR RESPONSE to comply with the requirements noted below is set to EXPIRE THREE MONTHS FROM THE "DATE MAILED" of this Office action. Failure to timely comply will result in ABANDONMENT of this application. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL APPLICATION, PTO-152, which discloses that the oath or declaration is deficient. A SUBSTITUTE OATH OR DECLARATION IS REQUIRED.

Applicant MUST submit NEW FORMAL DRAWINGS

because the originally filed drawings were declared by applicant to be informal.

including changes required by the Notice of Draftsperson's Patent Drawing Review, PTO-948, attached hereto or to Paper No. \_\_\_\_\_

including changes required by the proposed drawing correction filed on \_\_\_\_\_, which has been approved by the examiner.

including changes required by the attached Examiner's Amendment/Comment.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the reverse side of the drawings. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Any response to this letter should include, in the upper right hand corner, the APPLICATION NUMBER (SERIES CODE/SERIAL NUMBER). If applicant has received a Notice of Allowance and Issue Fee Due, the ISSUE BATCH NUMBER and DATE of the NOTICE OF ALLOWANCE should also be included.

### Attachment(s)

Notice of References Cited, PTO-892

Information Disclosure Statement(s), PTO-1449, Paper No(s). 2

Notice of Draftsperson's Patent Drawing Review, PTO-948

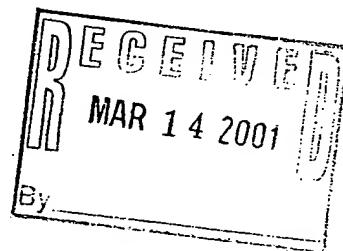
Notice of Informal Patent Application, PTO-152

Interview Summary, PTO-413

Examiner's Amendment/Comment

Examiner's Comment Regarding Requirement for Deposit of Biological Material

Examiner's Statement of Reasons for Allowance



DOCKETED WAS 3/13/01 (A)

Art Unit: 2164

### **DETAILED ACTION**

1. Claims 1-47 have been examined.
2. This action is responsive to Applicant's application filed 4/27/98. This application is a continuation-in-part of earlier Application No: 08/992,647 now US Patent No: 6,035,287 issued March 7, 2000.
3. No claims have been added. No claims have been deleted. No claims have been amended. Claims 1-47 are pending.

#### *Allowable Subject Matter*

4. The instant invention relates to a novel system and method for trading asset bundles. An electronic data processing system executing a trade matching mechanism functions as a market intermediary and recombines assets from different market participants such that the requirements of participants seeking to acquire a particular asset are satisfied by participants seeking to dispose of the same asset.

The data processing system operates continuously and market participants can submit new trade orders or bundles or cancel open orders. Matches are sought continuously in real time. These bundles are defined in terms of their size, and a set of values representing the proportions of each of the asset sizes. Each bundle may contain a subset of assets which the market participant seeks to acquire and a subset of assets of which the market participant seeks to dispose. A market participant with more than one entered bundle may specify substantiability among the entered bundles by specifying portfolio constraints into the data processing system.

Art Unit: 2164

As bundles are entered, the data processing system matches trades among the plurality of all bundles. A numerical value is utilized which represents the allocation of a particular bundle to the matched trade. Finally, the proportion of each asset in a particular bundle that is committed to the exchange is represented by the proportion of the asset in the bundle multiplied by the allocation value assigned by the data processing system to the given bundle. The elements that are specified in the independent claims 1,27,37,41 that differentiate the invention over the prior art are:

(A)-applicant's concept utilizes a method to match a trade when there is a real market surplus of a given asset. Values are chosen by the data processing system so that the matching condition is satisfied. Valuations are represented by the proportions of each asset in each of the bundles forming the trade.

(B)-applicant's concept utilizes a data processing system which may be a distributed processing system in the bundle trading market. Applicant's apparatus addresses the problem of market fragmentation of assets. Additionally, applicant's invention encompasses assets which may be non-monetary in characteristics in which case the exchanges are barters, although currency exchanges are not precluded.

The present invention provides a method for hedging the acquisition or disposition of a portfolio of equities by offsetting transactions in futures, or options. These transactions take place in fragmented markets, because the nature of the assets is inherently different (derivatives/equities,etc). Because these assets are essentially decoupled, and trade in different

Art Unit: 2164

markets, trading them individually may lead to an overall loss due to the different volatilities of the different assets. In this way the present invention meets the need of a combined "bundle" of assets to mitigate the risk of loss arising as a consequence of the trading of decoupled assets in divergent markets. The cited prior art does not disclose limitations in the context of the claims as stated in the independent claims 1,27,37,41.

Prior art does not disclose trading in bundles of assets to mitigate market volatility and risk of loss. This art of record includes:

-Ferstenberg(US Pat. No: 5,873,071) discloses a computer method for intermediated exchange of commodities

-Braddock(US Pat. No: 4,412,287) discloses an automated stock exchange

-Kalmus(US Pat. No: 4,674,044) discloses an automated securities trading system

-Silverman(US Pat. No: 5,077,665) discloses a distributed matching system

-Silverman(US Pat. No: 5,136,501) discloses an anonymous matching system

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid delays, should preferably accompany the issue fee. Such submission should be clearly labeled "Comments on Statement of Reasons for Allowance."

Art Unit: 2164

***Conclusion***

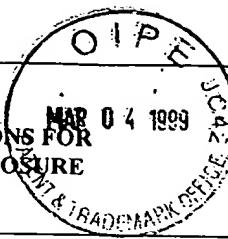
Any comments regarding this communication should be directed to the examiner, Dr. Geoffrey Akers, P.E. who can be reached at (703)-306-5844 between the hours of 6:30 AM and 5:00 PM Monday through Friday. If attempts to contact the examiner are unsuccessful, the examiner's supervisor, Mr. Vincent Millin, may be telephoned at (703)-308-1065.

GRA

March 6, 2001



VINCENT MILLIN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT

Serial No.: 09/067,640  
 Applicants: Jan Stallaert et al.  
 Filing Date: April 27, 1998  
 Group:  
 Atty. Docket No.: 18608-P001C1

RECEIVED

## Reference Designation

## U.S. PATENT DOCUMENTS

MAR 09 1999

Examiner Initial	Document Number	Date	Name	Class	Subclass	Group	Filing Date
CA AAA	4,412,287	10/25/83	Walter D. Braddock III	364	408	2700	Apr 27, 1998
CA ABA	4,674,044	06/16/87	Kalmus et al.	364	408		
CA ACA	5,077,665	12/31/91	Silverman et al.	364	408		
CA ADA	5,101,353	03/31/92	Lupien et al.	364	408		
CA AEA	5,136,501	08/04/92	Silverman et al.	364	408		

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

CA AFA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).

CA AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).

CA AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).

CA AIA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).

CA AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).

CA AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)

CA ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).

CA AMA Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994).

CA ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).

CA AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).

CA APA Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997).

CA AQA McAfee et al., "Electronic Markets" in *Readings in Electronic Commerce*, pp. 293-309 (Addison Wesley Longman, Inc. 1997).

CA ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysts Journal*, pp. 29-35 (July-August 1988).

CA ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

*CK* ATA

McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).

*CK* AUA

Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).

*CK* AVA

Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).

*CK* AWA

Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).

*CK* AXA

Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

*SP*  
Examiner:

*2/7/01*  
Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001C1

In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Serial No.: 09/067,640  
Applicants: Jan Stallaert et al.  
Filing Date: April 27, 1998  
Group: Not assigned  
Atty. Docket No.: 18608-P001CI



**Reference Designation**      **U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
GA AAA	5,689,652	11/18/97	Lupien et al.	395	237	
CA ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	
ACA						
ADA						
AEA						
AFA						
AGA						
AHA						
AIA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ANA						
AOA						
APA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial

GA AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.  
 GA ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.  
 GA ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCET Conference, AIX-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001CI

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

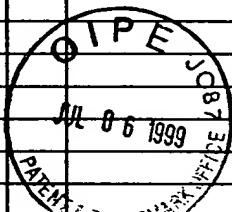
of

2

**Complete if Known**

TO  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use as many sheets as necessary)		Complete if Known	
Sheet	1	of	2
		Attorney Docket Number	
		18608-P001C1	
		Application Number	
		09/067,640	
		Filing Date	
		April 27, 1998	
		First Named Inventor	
		Jan Stallaert	
		Group Art Unit	
		2761	
		Examiner Name	
		Not yet assigned	

**U.S. PATENT DOCUMENTS**



## FOREIGN PATENT DOCUMENTS

**Examiner  
Signature**

Date  
Considered

2/7/01

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

NOTICE OF DRAFTPERSON'S  
PATENT DRAWING REVIEWThe drawing filed (insert date) 4/27/98 are:

A.  not objected to by the Draftperson under 37 CFR 1.84 or 1.152;

B.  objected to by the Draftperson under 37 CFR 1.84 or 1.152 as indicated below. The Examiner will require submission of new, corrected drawings where necessary. Corrected drawings must be submitted according to the instructions on the back of this notice.

## 1. DRAWINGS. 37 CFR 1.84(a): Acceptable categories of drawings:

Black ink. Color.

 Color drawing are not acceptable until petition is granted.

Fig(s) \_\_\_\_\_

 Pencil and non black ink is not permitted. Fig(s) \_\_\_\_\_

## 2. PHOTOGRAPHS. 37 CFR 1.84(b)

 Photographs are not acceptable until petition is granted, 3 full-tone sets are required. Fig(s) \_\_\_\_\_ Photographs not properly mounted (must bristol board or photographic double-weight paper). Fig(s) \_\_\_\_\_ Poor quality (half-tone). Fig(s) \_\_\_\_\_

## 3. TYPE OF PAPER. 37 CFR 1.84(e)

 Paper not flexible, strong, white and durable.

Fig(s) \_\_\_\_\_

 Erasures, alterations, overwritings, interlineations, folds, copy machine marks not acceptable. (too thin) Mylar, vellum paper is not acceptable (too thin).

Fig(s) \_\_\_\_\_

## 4. SIZE OF PAPER. 37 CFR 1.84(F): Acceptable sizes:

 21.0 cm by 29.7 cm (DIN size A4) 21.6 cm by 27.9 cm (8 1/2 x 11 inches) All drawings sheets not the same size.

Sheet(s) \_\_\_\_\_

## 5. MARGINS. 37 CFR 1.84(g): Acceptable margins:

Top 2.5 cm Left 2.5 cm Right 1.5 cm Bottom 1.0 cm

SIZE: A4 Size

Top 2.5 cm Left 2.5 cm Right 1.5 cm Bottom 1.0 cm

SIZE: 8 1/2 x 11

Margins not acceptable. Fig(s) 1-12 Top (T)  Left (L) Right (R)  Bottom (B)

## 6. VIEWS. CFR 1.84(h)

REMINDER: Specification may require revision to correspond to drawing changes.

 Views connected by projection lines or lead lines.

Fig(s) \_\_\_\_\_

## Partial views. 37 CFR 1.84(h)(2)

 Brackets needed to show figure as one entity.

Fig(s) \_\_\_\_\_

 Views not labeled separately or properly.

Fig(s) \_\_\_\_\_

 Enlarged view not labeled separately or properly.

Fig(s) \_\_\_\_\_

## 7. SECTIONAL VIEWS. 37 CFR 1.84(h)(3)

 Hatching not indicated for sectional portions of an object.

Fig(s) \_\_\_\_\_

 Sectional designation should be noted with Arabic or Roman numbers. Fig(s) \_\_\_\_\_

## 8. ARRANGEMENT OF VIEWS. 37 CFR 1.84(i)

 Words do not appear on a horizontal, left-to-right fashion when page is either upright or turned, so that the top becomes the right side, except for graphs. Fig(s) \_\_\_\_\_ Views not on the same plane on drawing sheet. Fig(s) \_\_\_\_\_

## 9. SCALE. 37 CFR 1.84(k)

 Scale not large enough to show mechanism without crowding when drawing is reduced in size to two-thirds in reproduction.

Fig(s) \_\_\_\_\_

## 10. CHARACTER OF LINES, NUMBERS, &amp; LETTERS. 37 CFR 1.84(l)

 Lines, numbers & letters not uniformly thick and well defined, clean, durable and black (poor line quality).Fig(s) 1-12

## 11. SHADING. 37 CFR 1.84(m)

 Solid black areas pale. Fig(s) \_\_\_\_\_ Solid black shading not permitted. Fig(s) \_\_\_\_\_ Shade lines, pale, rough and blurred. Fig(s) \_\_\_\_\_

## 12. NUMBERS, LETTERS, &amp; REFERENCE CHARACTERS. 37 CFR 1.84(p)

 Numbers and reference characters not plain and legible.Fig(s) 1-13 Figure legends are poor. Fig(s) 1-13 Numbers and reference characters not oriented in the same direction as the view. 37 CFR 1.84(p)(3). Fig(s) \_\_\_\_\_ English alphabet not used. 37 CFR 1.84(p)(3) Fig(s) \_\_\_\_\_ Numbers, letters and reference characters must be at least .32 cm (1/8 inch) in height. 37 CFR 1.84(p)(3) Fig(s) 1-13

## 13. LEAD LINES. 37 CFR 1.84(q)

 Lead lines cross each other. Fig(s) \_\_\_\_\_ Lead lines missing. Fig(s) \_\_\_\_\_

## 14. NUMBERING OF SHEETS OF DRAWINGS. 37 CFR 1.48(l)

 Sheets not numbered consecutively, and in Arabic numerals beginning with number 1. Fig(s) \_\_\_\_\_

## 15. NUMBERING OF VIEWS. 37 CFR 1.84(u)

 Views not numbered consecutively, and in Arabic numerals, beginning with number 1. Fig(s) \_\_\_\_\_

## 16. CORRECTIONS. 37 CFR 1.84(w)

 Corrections not made from PTO-948 dated \_\_\_\_\_

## 17. DESIGN DRAWINGS. 37 CFR 1.152

 Surface shading shown not appropriate. Fig(s) \_\_\_\_\_ Solid black shading not used for color contrast.

Fig(s) \_\_\_\_\_